

ON FUNCTIONAL CALCULUS PROPERTIES OF RITT OPERATORS

FLORENCE LANCIEN AND CHRISTIAN LE MERDY

ABSTRACT. We compare various functional calculus properties of Ritt operators. We show the existence of a Ritt operator $T: X \rightarrow X$ on some Banach space X with the following property: T has a bounded \mathcal{H}^∞ functional calculus with respect to the unit disc \mathbb{D} (that is, T is polynomially bounded) but T does not have any bounded \mathcal{H}^∞ functional calculus with respect to a Stolz domain of \mathbb{D} with vertex at 1. Also we show that for an R -Ritt operator, the unconditional Ritt condition of Kalton-Portal is equivalent to the existence of a bounded \mathcal{H}^∞ functional calculus with respect to such a Stolz domain.

2000 Mathematics Subject Classification : 47A60.

1. INTRODUCTION

Ritt operators on Banach spaces have a specific \mathcal{H}^∞ functional calculus which was formally introduced in [11]. This functional calculus is related to various classical notions playing a role in the harmonic analysis of single operators, such as square functions, maximal inequalities, multipliers and dilation properties, see in particular the above mentioned paper and [1, 2, 12]. The purpose of the present paper is to compare the \mathcal{H}^∞ functional calculus of Ritt operators to two closely related notions, namely polynomial boundedness and the unconditional Ritt condition from [9].

Let $\mathbb{D} = \{z \in \mathbb{C} : |z| < 1\}$ be the open unit disc of the complex field, let X be a (complex) Banach space and recall that a bounded operator $T: X \rightarrow X$ is called polynomially bounded if there exists a constant $K \geq 0$ such that

$$\|P(T)\| \leq K \sup\{|P(z)| : z \in \mathbb{D}\}$$

for any polynomial P . We say that T is a Ritt operator provided that the spectrum of T is included in $\overline{\mathbb{D}}$ and the set

$$(1.1) \quad \{(\lambda - 1)R(\lambda, T) : |\lambda| > 1\}$$

is bounded. (Here $R(\lambda, T) = (\lambda - T)^{-1}$ denotes the resolvent operator.) For any $\gamma \in (0, \frac{\pi}{2})$, let B_γ be the open Stolz domain defined as the interior of the convex hull of 1 and the disc $D(0, \sin \gamma)$, see Figure 1 below.

It is well-known that the spectrum of any Ritt operator T is included in the closure $\overline{B_\gamma}$ of one of those Stolz domains. Following [11], we say that T has a bounded $\mathcal{H}^\infty(B_\gamma)$ functional calculus if there is a constant $K \geq 0$ such that

$$(1.2) \quad \|P(T)\| \leq K \sup\{|P(z)| : z \in B_\gamma\}$$

Date: January 22, 2013.

The second named author is supported by the research program ANR 2011 BS01 008 01.

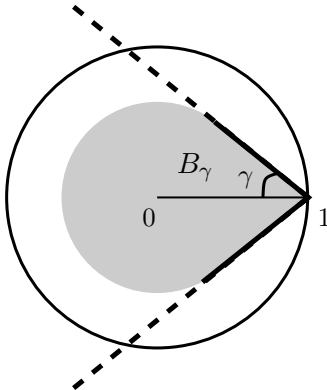


FIGURE 1.

for any polynomial P . Since $B_\gamma \subset \mathbb{D}$, it is plain that this property implies polynomial boundedness. It was shown in [11] that the converse holds true on Hilbert spaces. Our main result asserts that this does not remain true on all Banach spaces. We will exhibit a Banach space X and a Ritt operator $T: X \rightarrow X$ which is polynomially bounded but has no bounded $\mathcal{H}^\infty(B_\gamma)$ functional calculus. This will be achieved in Section 3 (see Theorem 3.2). This example is obtained by first developing and then exploiting a construction of Kalton concerning sectorial operators [8]. Section 2 is devoted to preliminary results and to the main features of Kalton's example.

Following [9] we say that T satisfies the unconditional Ritt condition if there exists a constant $K \geq 0$ such that

$$(1.3) \quad \left\| \sum_{k \geq 1} a_k (T^k - T^{k-1}) \right\| \leq K \sup \{ |a_k| : k \geq 1 \}$$

for any finite sequence $(a_k)_{k \geq 1}$ of complex numbers. This property is stronger than the Ritt condition [9, Prop. 4.3] and it is easy to check that if T admits a bounded $\mathcal{H}^\infty(B_\gamma)$ functional calculus for some $\gamma < \frac{\pi}{2}$, then T satisfies the unconditional Ritt condition (see Lemma 4.1 below). We do not know if the converse holds true. However we will show in Section 4 that if T is R -Ritt and satisfies the unconditional Ritt condition, then it admits a bounded $\mathcal{H}^\infty(B_\gamma)$ functional calculus for some $\gamma < \frac{\pi}{2}$. As a consequence we generalize [9, Thm. 4.7] by showing that on a large class of Banach spaces, the unconditional Ritt condition is equivalent to certain square function estimates for R -Ritt operators.

2. SECTORIAL OPERATORS AND KALTON'S EXAMPLE

Let X be a Banach space and let $A: D(A) \rightarrow X$ be a closed operator with dense domain $D(A) \subset X$. We let $\sigma(A)$ denote the spectrum of A and whenever λ belongs to the resolvent set $\mathbb{C} \setminus \sigma(A)$, we let $R(\lambda, A) = (\lambda - A)^{-1}$ denote the corresponding resolvent operator.

For any $\omega \in (0, \pi)$, we let $\Sigma_\omega = \{z \in \mathbb{C}^* : |\operatorname{Arg}(z)| < \omega\}$. We also set $\Sigma_0 = (0, \infty)$ for convenience. We recall that by definition, A is sectorial if there exists an angle ω such that

$\sigma(A) \subset \overline{\Sigma_\omega}$ and for any $\nu \in (\omega, \pi)$ the set

$$(2.4) \quad \{\lambda R(\lambda, A) : \lambda \in \mathbb{C} \setminus \overline{\Sigma_\nu}\}$$

is bounded. The smallest $\omega \in [0, \pi)$ with this property is called the sectoriality angle of A .

We will need a few facts about \mathcal{H}^∞ functional calculus for sectorial operators that we now recall. For background and complements, we refer the reader to [6, 7, 13].

Let A be a sectorial operator with sectoriality angle $\omega \geq 0$. One can naturally define a bounded operator $F(A)$ for any rational function F with nonpositive degree and poles outside $\sigma(A)$. Let $\phi \geq \omega$. The operator A is said to admit a bounded $\mathcal{H}^\infty(\Sigma_\phi)$ functional calculus if there exists a constant K such that for all functions F as above,

$$(2.5) \quad \|F(A)\| \leq K \sup\{|F(z)| : z \in \Sigma_\phi\}.$$

In that case, if μ denotes the infimum of all angles ϕ for which such an estimate holds, then A is said to admit a bounded \mathcal{H}^∞ functional calculus of type μ .

Note that the above definition makes sense even for $\phi = \omega$, which is important for our purpose (see Proposition 2.2 below). If $\phi > \omega$ and A has dense range, it follows from [6, 13] that when the estimate (2.5) holds true on rational functions, then the homomorphism $F \mapsto F(A)$ naturally extends to a bounded operator on $\mathcal{H}^\infty(\Sigma_\phi)$, the Banach algebra of all bounded analytic functions on Σ_ϕ . In particular for $s \in \mathbb{R}$, the image of the function $z \mapsto z^{is}$ under this homomorphism coincides with the classical imaginary power A^{is} of A . These imaginary powers hence satisfy the estimate

$$\|A^{is}\| \leq Ke^{\phi|s|}, \quad s \in \mathbb{R},$$

when (2.5) holds true.

On a Hilbert space, a well known result of McIntosh [13] asserts that if A is a sectorial operator with sectoriality angle ω which admits bounded imaginary powers or a bounded $\mathcal{H}^\infty(\Sigma_\phi)$ functional calculus for some $\phi > \omega$, then it has a bounded $\mathcal{H}^\infty(\Sigma_\phi)$ functional calculus for any $\phi > \omega$. That is, its \mathcal{H}^∞ functional calculus type coincides with its sectoriality angle.

However on general Banach spaces, this property can fail. Indeed in [8] Kalton constructs, for any $\theta \in (0, \pi)$, a Banach space X_θ and a sectorial operator A on X_θ with sectoriality angle 0, which admits a bounded \mathcal{H}^∞ functional calculus of type θ .

The construction is as follows. On the classical space $L^2(\mathbb{R})$, consider the norms $\|\cdot\|_\theta$ defined by

$$(2.6) \quad \|f\|_\theta^2 = \int_{\mathbb{R}} e^{-2\theta|\xi|} |\widehat{f}(\xi)|^2 d\xi.$$

Obviously $\|\cdot\|_0$ is the usual L^2 -norm and $\|\cdot\|_\theta$ is a smaller norm. For any $\theta \in (0, \pi)$, we let H_θ denote the completion of $L^2(\mathbb{R})$ for the norm $\|\cdot\|_\theta$; this is a Hilbert space.

Let A be the multiplication operator on $L^2(\mathbb{R})$ defined by

$$Af(x) = e^{-x}f(x).$$

In the sequel we will keep the same notation to denote various extensions of A on some spaces containing $L^2(\mathbb{R})$ as a dense subspace. Note that for any $\phi > 0$ and any $F \in \mathcal{H}^\infty(\Sigma_\phi)$, $F(A)$ is the multiplication operator associated to $x \mapsto F(e^{-x})$.

According to [8], A extends to a sectorial operator on H_θ with a bounded \mathcal{H}^∞ functional calculus of type θ . This (non-trivial) fact follows from the following observations. First, for any $f \in L^2(\mathbb{R})$, we have $A^{is}f(x) = e^{-isx}f(x)$, hence

$$(2.7) \quad \widehat{A^{is}f}(\xi) = \widehat{f}(\xi + s)$$

for any s, ξ in \mathbb{R} . Second, using the definition of $\|\cdot\|_\theta$, this implies that

$$(2.8) \quad \|A^{is}\|_{H_\theta \rightarrow H_\theta} = e^{\theta|s|}, \quad s \in \mathbb{R}.$$

This equality implies, by the above mentioned result of McIntosh, that the operator A on H_θ admits a bounded $\mathcal{H}^\infty(\Sigma_\phi)$ functional calculus for all $\phi > \theta$.

The next step is to construct a new completion X_θ of $L^2(\mathbb{R})$ on which A has similar \mathcal{H}^∞ functional calculus properties but a ‘better’ sectoriality angle. We will point out some important elements of this construction. Consider a new norm on $L^2(\mathbb{R})$ by letting

$$(2.9) \quad \|f\|_{X_\theta} = \sup_{a \in \mathbb{R}} \|f\chi_{(-\infty, a)}\|_\theta.$$

Then let X_θ be the completion of $L^2(\mathbb{R})$ for this norm. Clearly for any $f \in L^2(\mathbb{R})$, we have

$$\|f\|_\theta \leq \|f\|_{X_\theta} \leq \|f\|_0.$$

Thus $L^2(\mathbb{R}) \subset X_\theta \subset H_\theta$ with contractive embeddings. Note that contrary to H_θ , X_θ is not a Hilbert space. Again A extends to a sectorial operator on X_θ . A key fact is that on this new space, the sectoriality angle of A is equal to 0. This is a consequence of the following computation. For any $f \in L^2(\mathbb{R})$ and any $\lambda \in \mathbb{C} \setminus \mathbb{R}_+$,

$$(2.10) \quad (\lambda - e^{-x})^{-1}f(x) = \int_{\mathbb{R}} \frac{\lambda e^{-t}}{(\lambda - e^{-t})^2} f(x) \chi_{(-\infty, t)}(x) dt$$

for any $x \in \mathbb{R}$. If we let $\psi = \arg \lambda$, this implies

$$\|\lambda R(\lambda, A)f\|_\theta \leq \|f\|_{X_\theta} \int_0^\infty |s - e^{i\psi}|^{-2} ds.$$

Applying this with $f\chi_{(-\infty, a)}$ instead of f , we deduce a uniform estimate $\|\lambda R(\lambda, A)\|_{X_\theta \rightarrow X_\theta} \leq K_\psi$, which yields the desired sectoriality property.

If $m \in L^\infty(\mathbb{R})$ is such that the multiplication operator $f \mapsto mf$ is bounded on H_θ with norm less than C_m , then the same holds true on X_θ , since

$$\|mf\|_{X_\theta} = \sup_{a \in \mathbb{R}} \|mf\chi_{(-\infty, a)}\|_\theta \leq C_m \|f\|_{X_\theta}.$$

Since $F(A)$ is such a multiplication operator for any $F \in \mathcal{H}^\infty(\Sigma_\phi)$, we derive the following.

Lemma 2.1. *If A admits a bounded $\mathcal{H}^\infty(\Sigma_\phi)$ functional calculus on H_θ , then it admits a bounded $\mathcal{H}^\infty(\Sigma_\phi)$ functional calculus on X_θ as well.*

Finally, and this is the most difficult part of [8], it turns out that the imaginary powers of A have the same norms on X_θ and on H_θ , namely

$$(2.11) \quad \|A^{is}\|_{X_\theta \rightarrow X_\theta} = \|A^{is}\|_{H_\theta \rightarrow H_\theta} = e^{\theta|s|}$$

for any $s \in \mathbb{R}$. Combining with Lemma 2.1, this implies that on X_θ , the operator A admits a bounded $\mathcal{H}^\infty(\Sigma_\phi)$ functional calculus for any $\phi > \theta$ but cannot have a bounded $\mathcal{H}^\infty(\Sigma_\phi)$ functional calculus for some $\phi < \theta$.

We finally consider the case $\phi = \theta$, which is not treated in [8] but is important for our purpose. This requires a new ingredient, namely the next statement which is implicit in [11].

Proposition 2.2. *Let A be a sectorial operator with dense range on some Hilbert space H , assume that A admits bounded imaginary powers and that for some $\theta \in (0, \pi)$, they satisfy an exact estimate $\|A^{is}\| \leq e^{\theta|s|}$ for any $s \in \mathbb{R}$. Then A has a bounded $\mathcal{H}^\infty(\Sigma_\theta)$ functional calculus.*

Proof. Let iU be the generator of the c_0 -semigroup $(A^{is})_{s \geq 0}$. Our assumption ensures that it both satisfies

$$\|e^{s(iU-\theta)}\| \leq 1 \quad \text{and} \quad \|e^{s(-iU-\theta)}\| \leq 1$$

for any $s \geq 0$. This means that $iU - \theta$ and $-iU - \theta$ both generate contractive semigroups on H . Thus for all $h \in D(U)$, one has

$$\operatorname{Re}\langle (\theta + iU)h, h \rangle \geq 0 \quad \text{and} \quad \operatorname{Re}\langle (\theta - iU)h, h \rangle \geq 0.$$

Hence the numerical range of U lies in the closed band $\Omega = \{z \in \mathbb{C} : |\operatorname{Im} z| \leq \theta\}$. By [5, Thm. 1], this implies the existence of a constant $K > 0$ such that

$$(2.12) \quad \|G(U)\| \leq K \sup\{|G(w)| : w \in \Omega\}$$

for any rational function G bounded on Ω . The argument in [5] can be extended to more general functions. It is observed in [11] that in particular, it applies to all functions G of the form $G(w) = F(e^w)$, where F is a rational function with negative degree and poles off $\overline{\Sigma_\theta}$ and in this case, $G(U) = F(A)$. In this situation, $\sup\{|G(w)| : w \in \Omega\}$ coincides with $\sup\{|F(z)| : z \in \Sigma_\theta\}$. Hence we deduce from (2.12) that A admits a bounded $\mathcal{H}^\infty(\Sigma_\theta)$ functional calculus. \square

According to (2.8), the above proposition applies to Kalton's operator A on H_θ . Hence the latter admits a bounded $\mathcal{H}^\infty(\Sigma_\theta)$ functional calculus. Applying Lemma 2.1, we deduce that the operator A constructed above on X_θ has a bounded $\mathcal{H}^\infty(\Sigma_\phi)$ functional calculus for all $\phi \geq \theta$ (not only for $\phi > \theta$).

3. MAIN RESULT

Our main purpose is to prove Theorem 3.2 below. We first need to modify Kalton's example discussed in the previous section. Roughly speaking we need a similar example with the additional property that the operator should be bounded. We will get a more precise result.

We consider the restriction B of A on $L^2(\mathbb{R}_+)$. More explicitly, $B: L^2(\mathbb{R}_+) \rightarrow L^2(\mathbb{R}_+)$ is the bounded operator defined by

$$Bf(x) = e^{-x}f(x), \quad f \in L^2(\mathbb{R}_+).$$

Then we let H_θ^+ be the completion of $L^2(\mathbb{R}_+)$ for the norm $\|\cdot\|_\theta$ defined by (2.6), we let X_θ^+ be the completion of $L^2(\mathbb{R}_+)$ for the norm $\|\cdot\|_{X_\theta}$ defined by (2.9) and we consider extensions of B to those spaces, as was done in Section 2. Of course X_θ^+ is a closed subspace of X_θ and

the operator B on X_θ^+ is the restriction of the operator A on X_θ . Thus for any $\phi \in (0, \pi)$ and any appropriate $F \in \mathcal{H}^\infty(\Sigma_\phi)$, we have $F(B) = F(A)|_{X_\theta^+ \rightarrow X_\theta^+}$, and hence

$$(3.13) \quad \|F(B)\|_{X_\theta^+ \rightarrow X_\theta^+} \leq \|F(A)\|_{X_\theta \rightarrow X_\theta}.$$

Similar comments apply for H_θ and H_θ^+ .

Proposition 3.1. *On the Banach space X_θ^+ , the operator B is sectorial, its sectoriality angle is equal to 0, its spectrum $\sigma(B)$ lies in $[0, 1]$, it admits a bounded $\mathcal{H}^\infty(\Sigma_\phi)$ functional calculus for all $\phi \geq \theta$, and*

$$(3.14) \quad \|B^{is}\|_{X_\theta^+ \rightarrow X_\theta^+} = e^{\theta|s|}, \quad s \in \mathbb{R}.$$

Proof. It is clear from (3.13) and results established for A in Section 2 that on X_θ^+ , B is sectorial with a sectoriality angle equal to 0, and it admits a bounded $\mathcal{H}^\infty(\Sigma_\phi)$ functional calculus for all $\phi \geq \theta$.

To show the spectral inclusion $\sigma(B) \subset [0, 1]$, consider $\lambda \in \mathbb{C} \setminus [0, 1]$. As in (2.10), we have

$$(\lambda - e^{-x})^{-1}f(x) = \int_0^\infty \frac{e^{-t}}{(\lambda - e^{-t})^2} f(x) \chi_{(-\infty, t)}(x) dt$$

for any $f \in L^2(\mathbb{R}_+)$ and any $x \geq 0$. Note that contrary to (2.10), integration is now taken on $(0, \infty)$. We can therefore deduce that

$$\|(\lambda - B)^{-1}f\|_{X_\theta} \leq \|f\|_{X_\theta} \int_0^\infty \frac{e^{-t}}{|\lambda - e^{-t}|^2} dt$$

for any $f \in L^2(\mathbb{R}_+)$, which ensures that $\lambda - B$ is invertible on X_θ^+ .

It remains to prove (3.14). We will establish it by appealing to (2.11) and by showing that for any $s \in \mathbb{R}$,

$$\|B^{is}\|_{X_\theta^+ \rightarrow X_\theta^+} = \|A^{is}\|_{X_\theta \rightarrow X_\theta}.$$

Let us start with a simple observation. Let τ_a denote the translation operator defined by $\tau_a f(x) = f(x - a)$. Then for any $f \in L^2(\mathbb{R})$ and for any $a \in \mathbb{R}$, we have $\widehat{\tau_a f}(\xi) = e^{-ia\xi} \widehat{f}(\xi)$ for any $\xi \in \mathbb{R}$. Looking at the definition (2.6), we deduce that

$$(3.15) \quad \|\tau_a f\|_\theta = \|f\|_\theta.$$

For any $t \in \mathbb{R}$, we have $\chi_{(-\infty, t)} \tau_a f = \tau_a (\chi_{(-\infty, t-a)} f)$ hence we immediately deduce that

$$(3.16) \quad \|\tau_a f\|_{X_\theta} = \|f\|_{X_\theta}.$$

Now take a function f in $L^2(\mathbb{R})$ with bounded support included in some compact interval $[-M, M]$. Given any $t \in \mathbb{R}$, we have

$$\begin{aligned} \|\chi_{(-\infty, t)} A^{is} f\|_\theta &= \|\tau_M (\chi_{(-\infty, t)} A^{is} f)\|_\theta \\ &= \|\chi_{(-\infty, t+M)} \tau_M (A^{is} f)\|_\theta \\ &\leq \|\tau_M (A^{is} f)\|_{X_\theta} \end{aligned}$$

by (3.15). Further, $A^{is} f(x) = e^{-isx} f(x)$ hence $[\tau_M (A^{is} f)](x) = e^{isM} A^{is} (\tau_M f)(x)$ for any real x . Thus

$$\|\tau_M (A^{is} f)\|_{X_\theta} = \|A^{is} (\tau_M f)\|_{X_\theta}.$$

Since $\tau_M f$ has support in \mathbb{R}_+ , we derive that

$$\|\tau_M(A^{is}f)\|_{X_\theta} \leq \|B^{is}\|_{X_\theta^+ \rightarrow X_\theta^+} \|\tau_M f\|_{X_\theta}.$$

According to (3.16) and the preceding inequalities, we deduce that

$$\|\chi_{(-\infty, t)} A^{is} f\|_\theta \leq \|B^{is}\|_{X_\theta^+ \rightarrow X_\theta^+} \|f\|_{X_\theta}.$$

Taking the supremum over $t \in \mathbb{R}$, one obtains $\|A^{is}f\|_{X_\theta} \leq \|B^{is}\|_{X_\theta^+ \rightarrow X_\theta^+} \|f\|_{X_\theta}$. Hence

$$\|A^{is}\|_{X_\theta \rightarrow X_\theta} \leq \|B^{is}\|_{X_\theta^+ \rightarrow X_\theta^+}.$$

The reverse inequality is clear, see (3.13). \square

We now turn to Ritt operators. Recall the definition of a bounded $\mathcal{H}^\infty(B_\gamma)$ functional calculus from Section 1 (see also [11]).

Theorem 3.2. *There exists a Ritt operator T on a Banach space X which is polynomially bounded but admits no bounded $\mathcal{H}^\infty(B_\gamma)$ functional calculus for any $\gamma < \frac{\pi}{2}$.*

Proof. We take for X the Banach space $X_{\frac{\pi}{2}}^+$ considered above and we let $B: X \rightarrow X$ be the operator considered in Proposition 3.1. Then we let

$$T = (I - B)(I + B)^{-1}.$$

We note that $z \mapsto \frac{1-z}{1+z}$ maps $\Sigma_{\frac{\pi}{2}}$ onto \mathbb{D} and $[0, 1]$ into itself. Thus

$$\sigma(T) \subset [0, 1].$$

To show that T is a Ritt operator, we consider $\lambda \in \mathbb{C}$ with $|\lambda| > 1$. One can write $\lambda = \frac{1-z}{1+z}$ with $z \notin \overline{\Sigma_{\frac{\pi}{2}}}$. It is easy to check that

$$(\lambda - 1)(\lambda - T)^{-1} = z(z - B)^{-1}(I + B).$$

Since the sectorial angle of B is 0, the set $\{z(z - B)^{-1} : z \notin \overline{\Sigma_{\frac{\pi}{2}}}\}$ is bounded. Since B is bounded, we deduce that the set defined in (1.1) is bounded.

The fact that B has a bounded $\mathcal{H}^\infty(\Sigma_{\frac{\pi}{2}})$ functional calculus on X implies that T is polynomially bounded. Indeed if P is a polynomial, then $P(T) = F(B)$ for the rational function F defined by $F(z) = P(\frac{1-z}{1+z})$. Hence for some constant K , we have

$$\|P(T)\| = \|F(B)\| \leq K \sup\{|F(z)| : z \in \Sigma_{\frac{\pi}{2}}\},$$

and moreover,

$$\sup\{|F(z)| : z \in \Sigma_{\frac{\pi}{2}}\} = \sup\{|P(w)| : w \in \mathbb{D}\}.$$

Now assume that T has a bounded $\mathcal{H}^\infty(B_\gamma)$ functional calculus for some $\gamma < \frac{\pi}{2}$. Consider the auxiliary operator

$$C = I - T = 2B(I + B)^{-1}.$$

By [11, Prop. 4.1], C is a sectorial operator which admits a bounded $\mathcal{H}^\infty(\Sigma_\theta)$ for some $\theta \in (0, \frac{\pi}{2})$. Thus there exists a constant $K > 0$ such that

$$\|C^{is}\| \leq K e^{\theta|s|}, \quad s \in \mathbb{R}.$$

Further $\sigma(I + B) \subset [1, 2]$. Thus $I + B$ is bounded and invertible and hence it admits a bounded \mathcal{H}^∞ functional calculus of any type. Thus for any $\theta' > 0$, there exists $K' > 0$ such that

$$\|(I + B)^{is}\| \leq K' e^{\theta'|s|}.$$

Since B and C commute, we have

$$B^{is} = 2^{-is} C^{is} (I + B)^{is},$$

hence

$$\|B^{is}\| \leq K K' e^{(\theta + \theta')|s|}$$

for any $s \in \mathbb{R}$. Applying this with θ' small enough so that $\theta + \theta' < \frac{\pi}{2}$, this contradicts (3.14) on $X_{\frac{\pi}{2}}^+$. \square

Remark 3.3. A Ritt operator T on Banach space X is called R -Ritt if the bounded set in (1.1) is actually R -bounded. That notion was introduced in [3], in relation with the study of discrete maximal regularity, see also [4, 9, 11, 14]. Background and references on R -boundedness can also be found in the latter references.

The existence of Ritt operators which are not R -Ritt goes back to Portal [14]. According to [11, Prop. 7.6], a polynomially bounded R -Ritt operator has a bounded $\mathcal{H}^\infty(B_\gamma)$ functional calculus for some $\gamma < \frac{\pi}{2}$. Thus the operator T constructed in Theorem 3.2 is a Ritt operator which is not R -Ritt. This example is of a different nature than the ones from [14].

4. UNCONDITIONAL RITT OPERATORS

We now investigate the links between the unconditional Ritt condition and the \mathcal{H}^∞ functional calculus. It is observed in [9] that the unconditional Ritt condition (1.3) is equivalent to the existence of a constant $K > 0$ such that

$$(4.17) \quad \sum_{k \geq 1} |\langle (T^k - T^{k-1})x, y \rangle| \leq K \|x\| \|y\|, \quad x \in X, y \in X^*.$$

Moreover it is stronger than the Ritt condition. We will now show that the unconditional Ritt condition is weaker than the existence of a bounded $\mathcal{H}^\infty(B_\gamma)$ functional calculus for some $\gamma < \frac{\pi}{2}$.

Lemma 4.1. *If T admits a bounded $\mathcal{H}^\infty(B_\gamma)$ functional calculus for some $\gamma < \frac{\pi}{2}$, then T satisfies the unconditional Ritt condition.*

Proof. Assume that T admits a bounded $\mathcal{H}^\infty(B_\gamma)$ functional calculus for some $\gamma < \frac{\pi}{2}$. Consider a finite sequence $(a_k)_{k \geq 1}$. Since

$$\sum_{k \geq 1} a_k (T^k - T^{k-1}) = P(T)$$

for the polynomial P defined by $P(z) = \sum_{k \geq 1} a_k (z^k - z^{k-1})$, (1.2) implies that

$$\left\| \sum_{k \geq 1} a_k (T^k - T^{k-1}) \right\| \leq K \sup \{ |P(z)| : z \in B_\gamma \}.$$

Now we have

$$|P(z)| \leq \sup_{k \geq 1} |a_k| \sum_{k \geq 1} |z^k - z^{k-1}| = \sup_{k \geq 1} |a_k| \left(\frac{|z-1|}{1-|z|} \right).$$

Since $z \mapsto \frac{|z-1|}{1-|z|}$ is bounded on B_γ , this implies the unconditional Ritt condition (1.3). \square

We now show a partial converse. See Remark 3.3 for the notion of R -Ritt operator. We will use the companion notion of R -sectorial operator. We recall that a sectorial operator A on Banach space is called R -sectorial if there exists an angle ω such that $\sigma(A) \subset \overline{\Sigma_\omega}$ and for any $\nu \in (\omega, \pi)$ the set (2.4) is R -bounded. In accordance with terminology in Section 2, the smallest $\omega \in [0, \pi)$ with this property will be called the R -sectoriality angle of A . We refer the reader to [3, 4, 10, 11] and the references therein for information on R -sectoriality.

Theorem 4.2. *Let T be an R -Ritt operator which satisfies the unconditional Ritt condition, then it admits a bounded $\mathcal{H}^\infty(B_\gamma)$ functional calculus for some $\gamma < \frac{\pi}{2}$.*

Proof. We consider the operator

$$C = I - T.$$

According to [3, Thm. 1.1] and its proof, the assumption that T is R -Ritt implies that C is R -sectorial, with an R -sectoriality angle $< \frac{\pi}{2}$. On the other hand the unconditional Ritt condition (1.3) for T implies the so-called L_1 -condition for C :

$$\int_0^\infty |\langle C e^{-tC} x, y \rangle| \frac{dt}{t} \leq K \|x\| \|y\|, \quad x \in X, y \in X^*.$$

Indeed for any $t > 0$,

$$C e^{-tC} = (I - T) e^{-t} e^{tT} = \sum_{n \geq 0} (I - T) e^{-t} \frac{t^n T^n}{n!}.$$

Thus for any $x \in X$ and $y \in X^*$, we have

$$\langle C e^{-tC} x, y \rangle = \sum_{n \geq 0} e^{-t} \frac{t^n}{n!} \langle (I - T) T^n x, y \rangle.$$

This implies, using (4.17), that

$$\begin{aligned} \int_0^\infty |\langle C e^{-tC} x, y \rangle| \frac{dt}{t} &\leq \sum_{n \geq 0} \frac{1}{n!} \int_0^\infty |\langle (I - T) T^n x, y \rangle| e^{-t} t^{n-1} dt \\ &= \sum_{n \geq 0} |\langle (I - T) T^n x, y \rangle| \\ &\leq K \|x\| \|y\|. \end{aligned}$$

Now by results of [6, Section 4], the L_1 -condition implies that C admits a bounded $\mathcal{H}^\infty(\Sigma_\theta)$ functional calculus for all $\theta > \frac{\pi}{2}$. Since C is R -sectorial with an R -sectoriality angle $< \frac{\pi}{2}$, it follows from [10, Prop. 5.1] that C actually admits a bounded $\mathcal{H}^\infty(\Sigma_\theta)$ functional calculus for some $\theta < \frac{\pi}{2}$. By [11, Prop. 4.1], this is equivalent to the fact that T has a bounded $\mathcal{H}^\infty(B_\gamma)$ functional calculus for some $\gamma < \frac{\pi}{2}$. \square

It is shown in [9, Thm. 4.7] that when X is a Hilbert space, the unconditional Ritt condition is equivalent to certain square function estimates. We can now extend that result to L^p -spaces. In the next statement, we let $p' = p/(p-1)$ denote the conjugate number of p .

Corollary 4.3. *Let Ω be a measure space, let $1 < p < \infty$ and let $T: L^p(\Omega) \rightarrow L^p(\Omega)$ be a power bounded operator. The following assertions are equivalent.*

- (i) *T is R -Ritt and satisfies the unconditional Ritt condition.*
- (ii) *There exists a constant $C > 0$ such that*

$$(4.18) \quad \left\| \left(\sum_{k=1}^{\infty} k |T^k(x) - T^{k-1}(x)|^2 \right)^{\frac{1}{2}} \right\|_p \leq C \|x\|$$

for any $x \in L^p(\Omega)$ and

$$(4.19) \quad \left\| \left(\sum_{k=1}^{\infty} k |T^{*k}(y) - T^{*(k-1)}(y)|^2 \right)^{\frac{1}{2}} \right\|_{p'} \leq C \|y\|$$

for any $y \in L^{p'}(\Omega)$.

Proof. If the square function estimates in (ii) hold true, then T is an R -Ritt operator by [11, Thm. 5.3]. Further T has a bounded $\mathcal{H}^\infty(B_\gamma)$ functional calculus for some $\gamma < \frac{\pi}{2}$, by [11, Thm. 1.1]. Hence Lemma 4.1 ensures that T satisfies the unconditional Ritt condition. The converse assertion that (i) implies (ii) is obtained by combining Theorem 4.2 and [11, Thm. 1.1]. \square

It is clear from [11] that Corollary 4.3 holds as well on reflexive Banach lattices with finite cotype. Further generalizations hold true on more Banach spaces, using the abstract square functions introduced and discussed in [11], to which we refer for more information. Combining the results from that paper with Theorem 4.2, one obtains that when X has finite cotype and $T: X \rightarrow X$ is an R -Ritt operator, then T satisfies the unconditional Ritt condition if and only if T and T^* admit square function estimates.

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UNIVERSITÉ DE FRANCHE-COMTÉ, LABORATOIRE DE MATHÉMATIQUES UMR 6623, 16 ROUTE DE GRAY, 25030 BESANÇON CEDEX, FRANCE.

E-mail address: `florence.lancien@univ-fcomte.fr`

UNIVERSITÉ DE FRANCHE-COMTÉ, LABORATOIRE DE MATHÉMATIQUES UMR 6623, 16 ROUTE DE GRAY, 25030 BESANÇON CEDEX, FRANCE.

E-mail address: `christian.lemerdy@univ-fcomte.fr`